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L2	17	1 and tree	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:49
L3	4362	707/100	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:49
L4	0	1 and 3	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:49
L5	0	tree and (charater same signature)	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:50
L6	2	2 and ASCII	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:50
L7	1985	tree and ASCII	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:51
L8	382	7 and (signature\$1)	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:51
L9	42	8 and (ASCII same signature\$1)	USPAT; EPO; JPO; DERWENT; IBM_TDB	OR	OFF	2004/12/09 14:51



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... **Signature**: range ? {trajectories} ? ... Strict trajectory preservation; one **leaf node**, one trajectory ? filling up **nodes** and no **node** splitting necessary ...

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Signature Trees for Signature Files

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515 Portage Ave. Winnipeg, Manitoba, Canada, R3B 2E9

Abstract The signature file method is a popular indexing technique used in information retrieval and databases. It excels in efficient index maintenance and lower space overhead. However, it suffers from inefficiency in query processing due to the fact that for each query processed the entire signature file needs to be scanned. In this paper, we introduce a tree structure, called a signature tree, established over a signature file, which can be used to expedite the signature file scanning by one order of magnitude or more.

Keywords: *index, signature file, signature identifier, signature tree, information retrieval*

1. Introduction

An important question in information retrieval is how to create a database index which can be searched efficiently for the data one seeks. Today, one or more of the following three techniques have been frequently used: full text searching, inversion and the signature file. Full text searching imposes no space overhead, but requires long response time. In contrast, inversion and the signature file work quickly, but need a large intermediary representation structure (index), which provides direct links to relevant data.

The inverted index excels in query processing efficiency. It is a set of postings lists [HEBL92], each of which maps one keyword to a list of links to the data entries containing that keyword. Inverted indices can be implemented as sorted arrays, tries, B-tree and various hashing structures, whereby each real text block address (or document identifier) is stored more than once. The scheme needs to frequently undergo re-organization under intensive information insertion/updating procedures. Recently, A lot of work has been done on the encoding of postings list in the context of document databases [MZ96, ZMR98]. Using Golomb's encoding for the integers [Go66], the size of the inverted index can be reduced to 14% of the indexed data with little or no loss of retrieval effectiveness [ZMR98]. However, Golomb's encoding can not be utilized in some applications. For instance, in an object-oriented database system, if the inverted index is used, the postings list will be a series of pairs of the form: (C, oid) , where C represents a class name and oid represents an object identifier, not satisfying the encoding condition. Therefore, in the context of object-oriented databases, the inverted file will require much storage space for postings lists [Ca75, Ha81].

The signature file method was originally introduced as a text indexing methodology [Fa85, FLPS90]. Nowadays, however, it is utilized in a wide range of applications, such as in office filing [CTHP86], hypertext systems [FLPS90], relational and object-oriented databases [CS89, IKO93, LL92, SKRT95, YLK94], as well as in data mining [AB97]. Compared to the inverted index, the signature file is more efficient in handling new insertions and queries on parts of

words. But the scheme introduces information loss. More specifically, its output usually involves a number of false drops, which may only be identified by means of a full text scanning on every text block short-listed in the output. Also, for each query processed, the entire signature file needs to be searched [CF84, Fa85, Fa92]. Consequently, the signature file method involves high processing and I/O cost. This problem is mitigated by partitioning the signature file, as well as by exploiting parallel computer architecture [CZ96, Le95, SK86].

During the creation of a signature file, each word is processed separately by a hashing function. The scheme sets a constant number (m) of 1s in the $[1..F]$ range. The resulting binary pattern is called the word signature. Each text is seen to consists of fixed size logical blocks and each block involves a constant number (D) of non-common, distinct words. The D word signatures of a block are superimposed (bit OR-ed) to produce a single F -bit pattern, which is the block signature stored as an entry in the signature file.

Fig. 1 depicts the signature generation and comparison process of a block containing three words (then $D = 3$), say “SGML”, “database”, and “information”. Each signature is of length $F = 12$, in which $m = 4$ bits are set to 1. When a query arrives, the block signatures are scanned and many nonqualifying blocks are discarded. The rest are either checked (so that the “false drops” are discarded; see below) or they are returned to the user as they are. Concretely, a query specifying certain values to be searched for will be transformed into a query signature s_q in the same way as for word signatures. The query signature is then compared to every block signature in the signature file. Three possible outcomes of the comparison are exemplified in Fig. 1: (1) the block matches the query; that is, for every bit set in s_q , the corresponding bit in the block signature s is also set (i.e., $s \wedge s_q = s_q$) and the block contains really the query word; (2) the block doesn’t match the query (i.e., $s \wedge s_q \neq s_q$); and (3) the signature comparison indicates a match but the block in fact doesn’t match the search criteria (false drop). In order to eliminate false drops, the block must be examined after the block signature signifies a successful match.

block: ... SGML ... databases ... information ...			
word signature:			
SGML	010 000 100 110	queries:	query signatures: matching results:
database	100 010 010 100	SGML	010 000 100 110 match with OS
information	✓ 010 100 011 000	XML	011 000 100 100 no match with OS
object signature (OS)		informatik	110 100 100 000 false drop
110 110 111 110			

Fig. 1. Signature generation and comparison

In this paper, we propose a method to speed up the (sequential) signature file scanning by establishing a tree structure, called *signature tree* for it just like a position tree for a text [AHU74]. But by the construction of a position tree, a *position identifier* is a continuous piece of character sequence, while by the construction of a signature tree a *signature identifier* is not a continuous piece of bit string.

A closely related work is the S-tree proposed in [De86]. It is in fact a B-tree built over a signature file. Thus, it can be used to speed up the location of a signature in a signature file just like a B-tree for primary keys in a relational database. However, in the signature tree each path cor-

responds to a signature identifier which can be used to identify uniquely the corresponding signature in a signature file. It helps to find the set of signatures matching a query signature quickly.

Signature files can also be utilized as set access facility in OODBs [IKO93]. Especially, according to the analysis of [IKO93], the bit-sliced signature file (BSSF) achieves a higher performance than the sequential signature file (SSF) by almost 50% (of time cost) in the best case. But the storage cost of BSSF doubles that of SSF and the update cost of BSSF triples that of SSF or more [IKO93]. Later on, we'll see that the signature tree has a much better time complexity and less update cost than BSSF but with almost the same storage cost.

2. Signature trees

A first idea to improve the performance is to sort the signature file and then employ a binary searching. Unfortunately, this does not work due to the fact that a signature file is only an inexact filter. The following example helps for illustration.

Consider a sorted signature file containing only three signatures:

```
010 000 100 110
010 100 011 000
100 010 010 100
```

Assume that the query signature s_q is equal to 000010010100. It matches 100 010 010 100. However, if we use a binary search, 100 010 010 100 can not be found.

For this reason, we try another method and construct a signature tree to avoid scanning a signature file completely.

2.1 Definition of signature trees

Consider a signature s_i of length F . We denote it as $s_i = s_i[1]s_i[2] \dots s_i[F]$, where each $s_i[j] \in \{0, 1\}$ ($j = 1, \dots, F$). We also use $s_i(j_1, \dots, j_h)$ to denote a sequence of pairs w.r.t. s_i : $(j_1, s_i[j_1])(j_2, s_i[j_2]) \dots (j_h, s_i[j_h])$, where $1 \leq j_k \leq F$ for $k \in \{1, \dots, h\}$.

Definition 1 (*signature identifier*) Let $S = s_1.s_2 \dots s_n$ denote a signature file. Consider s_i ($1 \leq i \leq n$). If there exists a sequence: j_1, \dots, j_h such that for any $k \neq i$ ($1 \leq k \leq n$) we have $s_i(j_1, \dots, j_h) \neq s_k(j_1, \dots, j_h)$, then we say $s_i(j_1, \dots, j_h)$ identifies the signature s_i or say $s_i(j_1, \dots, j_h)$ is an identifier of s_i .

Definition 2 (*signature tree*) A signature tree for a signature file $S = s_1.s_2 \dots s_n$, where $s_i \neq s_j$ for $i \neq j$ and $|s_k| = F$ for $k = 1, \dots, n$, is a binary tree T such that

1. For each internal node of T , the left edge leaving it is always labeled with 0 and the right edge is always labeled with 1.
2. T has n leaves labeled $1, 2, \dots, n$, used as pointers to n different positions of $s_1, s_2 \dots$ and s_n in S (signature file). For a leaf node u , $p(u)$ represents the pointer to the corresponding signature in S .
3. Each internal node v is associated with a number, denoted $sk(v)$ which is the bit offset of a

given bit position in the block signature pattern. That bit position will be checked when v is encountered.

4. Let j_1, \dots, j_h be the numbers associated with the nodes on a path from the root to a leaf node labeled i (then, this leaf node is a pointer to the i th signature in S). Let p_1, \dots, p_h be the sequence of labels of edges on this path. Then, $(j_1, p_1) \dots (j_h, p_h)$ makes up a signature identifier for $s_i, s_i(j_1, \dots, j_h)$.

Example 1. In Fig. 2(b), we show a signature tree for the signature file shown in Fig. 2(a). In this signature tree, each edge is labeled with 0 or 1 and each leaf node is a pointer to a signature in the signature file. In addition, each internal node is associated with a positive integer (which is used to tell how many bits to skip when searching). Consider the path going through the nodes marked 1, 7 and 4. If this path is searched for locating some signature s , then three bits of s : $s[1]$, $s[7]$ and $s[4]$ will have been checked at that moment. If $s[4] = 1$, the search will go to the right child of the node marked “4”. This child node is marked with 5 and then the 5th bit of s : $s[5]$ will be checked.

See the path consisting of the dashed edges in Fig. 2(b), which corresponds to the identifier of s_6 : $s_6(1, 7, 4, 5) = (1, 0)(7, 1)(4, 1)(5, 1)$. Similarly, the identifier of s_3 is $s_3(1, 4) = (1, 1)(4, 1)$ (see the path consisting of the thick edges in Fig. 2(b)).

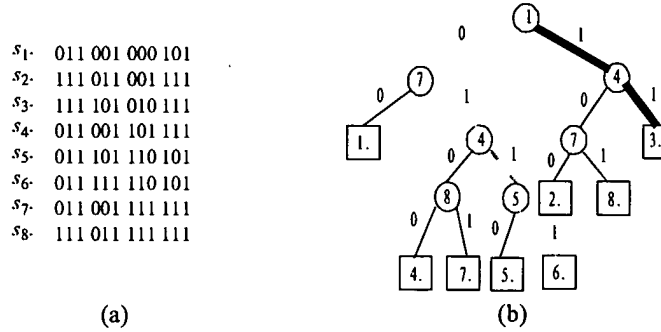


Fig. 2. Signature tree

In the next subsection, we discuss how to construct such a signature tree for a signature file in great detail.

2.2 Construction of signature trees

Below we give an algorithm to construct a signature tree for a signature file, which needs only $O(N)$ time, where N represents the number of signatures in the signature file.

At the very beginning, the tree contains an initial node: a node containing a pointer to the first signature.

Then, we take the next signature to be inserted into the tree. Let s be the next signature we wish to enter. We traverse the tree from the root. Let v be the node encountered and assume that v is an internal node with $sk(v) = i$. Then, $s[i]$ will be checked. If $s[i] = 0$, we go left. Otherwise, we go right. If v is a leaf node, we compare s with the signature s_0 pointed by v . s can not be the same as v since in S there is no signature which is identical to anyone else. But several bits of s can be determined, which agree with s_0 . Assume that the first k bits of s agree with s_0 ; but s differs from s_0 in the $(k + 1)$ th position, where s has the digit b and s_0 has $1 - b$. We construct a

new node u with $sk(u) = k + 1$ and replace v with u . (Note that v will not be removed. By “replace”, we mean that the position of v in the tree is occupied by u . v will become one of u ’s children.) If $b = 1$, we make v and the pointer to s be the left and right children of u , respectively. If $b = 0$, we make v and the pointer to s be respectively the right and left children of u .

The following is the formal description of the algorithm.

Algorithm *sig-tree-generation(file)*

begin

construct a root node r with $sk(r) = 1$; /*where r corresponds to the first signature s_1 in the signature file*/

for $j = 2$ **to** n **do**

call *insert*(s_j);

end

Procedure *insert*(s)

begin

$stack \leftarrow root$;

while $stack$ not empty **do**

1 $\{v \leftarrow pop(stack)$;

2 **if** v is not a leaf **then**

3 $\{i \leftarrow sk(v)$;

4 **if** $s[i] = 1$ **then** {let a be the right child of v ; $push(stack, a)$;}

5 **else** {let a be the left child of v ; $push(stack, a)$;}

6 }

7 **else** (* v is a leaf.*)

8 {compare s with the signature s_0 pointed by $p(v)$;

9 assume that the first k bit of s agree with s_0 ;

10 but s differs from s_0 in the $(k + 1)$ th position;

11 $w \leftarrow v$; replace v with a new node u with $sk(u) = k + 1$;

12 **if** $s[k + 1] = 1$ **then** make s and w be respectively the right and left children of u

13 **else** make s and w be the right and left children of u , respectively;}

14 }

end

In the procedure *insert*, $stack$ is a stack structure used to control the tree traversal.

Below we trace the above algorithm against the signature file shown in Fig. 2(a).

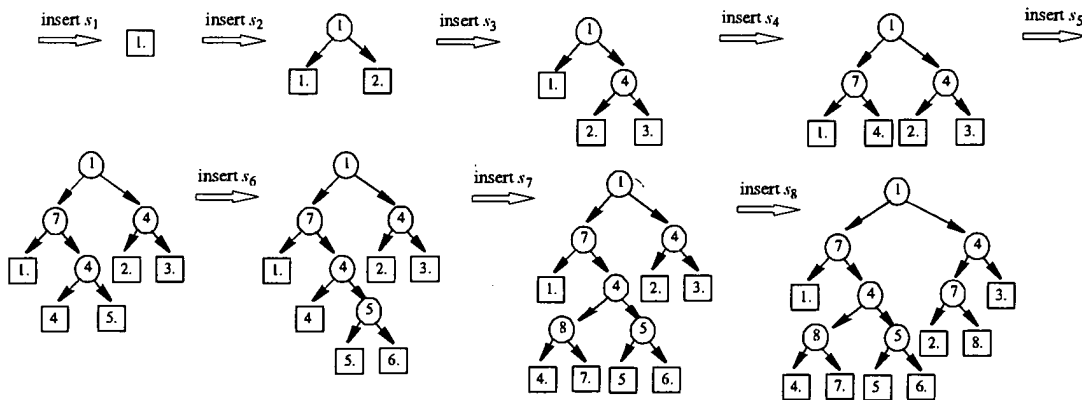


Fig. 3. Sample trace of signature tree generation

In the following, we prove the correctness of the algorithm *sig-tree-generation*. To this end, it should be specified that each path from the root to a leaf node in a signature tree corresponds to a signature identifier. We have the following proposition.

Proposition 1. Let T be a signature tree for a signature file S . Let $P = v_1.e_1 \dots v_{g-1}.e_{g-1}.v_g$ be a path in T from the root to a leaf node for some signature s in S , i.e., $p(v_g) = s$. Denote $j_i = sk(v_i)$ ($i = 1, \dots, g - 1$). Then, $s(j_1, j_2, \dots, j_{g-1}) = (j_1, b(e_1)) \dots (j_{g-1}, b(e_{g-1}))$ constitutes an identifier for s .

Proof. Let $S = s_1.s_2 \dots s_n$ be a signature file and T a signature tree for it. Let $P = v_1.e_1 \dots v_{g-1}.e_{g-1}.v_g$ be a path from the root to a leaf node for s_i in T . Assume that there exists another signature s_t such that $s_t(j_1, j_2, \dots, j_{g-1}) = s_i(j_1, j_2, \dots, j_{g-1})$, where $j_i = sk(v_i)$ ($i = 1, \dots, g - 1$). Without loss of generality, assume that $t > i$. Then, at the moment when s_t is inserted into T , two new nodes v and v' will be inserted as shown in Fig. 4(a) or (b). (see lines 10 -15 of the procedure *insert*.) Here, v' is a pointer to s_t and v is associated with a number indicating the position where $p(v_i)$ and $p(v')$ differs.



Fig. 4. Inserting a node v into T

It shows that the path for s_i should be $v_1.e_1 \dots v_{g-1}.e.v_e'.v_g$ or $v_1.e_1 \dots v_{g-1}.e.v_e''.v_g$, which contradicts the assumption. Therefore, there is not any other signature s_t with $s_t(j_1, j_2, \dots, j_{n-1}) = (j_1, b(e_1)) \dots (j_{n-1}, b(e_{n-1}))$. So $s_i(j_1, j_2, \dots, j_{n-1})$ is an identifier of s_i . \square

The analysis of the time complexity of the algorithm is relatively simple. From the procedure *insert*, we see that there is only one loop to insert all signatures of a signature file into a tree. At each step within the loop, only one path is searched, which needs at most $O(F)$ time. Thus, we have the following proposition.

Proposition 2. The time complexity of the algorithm *sig-tree-generation* is bounded by $O(N)$, where N represents the number of signatures in a signature file.

Proof. See the above analysis. \square

3. Searching and maintenance of signature trees

In this section, we discuss the searching and maintenance of signature trees.

3.1 Searching a signature tree

Now we discuss how to search a signature tree to model the behavior of a signature file as a filter. Let s_q be a query signature. The i -th position of s_q is denoted as $s_q(i)$. During the traversal

of a signature tree, the inexact matching is defined as follows:

- (i) Let v be the node encountered and $s_q(i)$ be the position to be checked.
- (ii) If $s_q(i) = 1$, we move to the right child of v .
- (iii) If $s_q(i) = 0$, both the right and left child of v will be visited.

In fact, this definition just corresponds to the signature matching criterion.

To implement this inexact matching strategy, we search the signature tree in a depth-first manner and maintain a stack structure $stack_p$ to control the tree traversal.

Algorithm *signature-tree-search*

input: a query signature s_q ;

output: set of signatures which survive the checking;

1. $S \leftarrow \emptyset$.
2. Push the root of the signature tree into $stack_p$.
3. If $stack_p$ is not empty, $v \leftarrow \text{pop}(stack_p)$; else return(S).
4. If v is not a leaf node, $i \leftarrow sk(v)$;
 If $s_q(i) = 0$, push c_r and c_l into $stack_p$; (where c_r and c_l are v 's right and left child, respectively.) otherwise, push only c_r into $stack_p$.
5. Compare s_q with the signature pointed by $p(v)$. /* $p(v)$ - pointer to the block signature*/
 If s_q matches, $S \leftarrow S \cup \{p(v)\}$.
6. Go to (3).

The following example helps for illustrating the main idea of the algorithm.

Example 2 Consider the signature file and the signature tree shown in Fig. 2 once again.

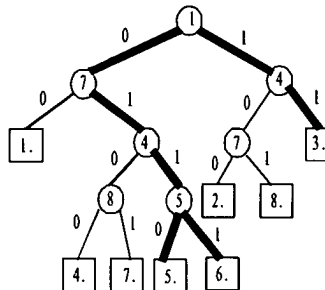


Fig. 5. Signature tree search

Assume $s_q = 000\ 100\ 100\ 000$. Then, only part of the signature tree (marked with thick edges in Fig. 5) will be searched. On reaching a leaf node, the signature pointed by the leaf node will be checked against s_q . Obviously, this process is much more efficient than a sequential searching. For this example, only 42 bits are checked (6 bits during the tree search and 36 bits during the signature checking). But by the scanning of the signature file, 96 bits will be checked. In general, if a signature file contains N signatures, the method discussed above requires only $O(N/2^l)$ comparisons in the worst case, where l represents the number of bits set in s_q , since each bit set in s_q will prohibit half of a subtree from being visited. Compared to the time com-

plexity of the signature file scanning $O(N)$, it is a major benefit. We will discuss this issue in the next section in more detail.

3.2 Maintenance of a signature tree

When a signature s is added to a signature file, the corresponding signature tree can be changed easily by running the algorithm *insert()* once with s as the input (see 2.2).

When a signature is removed from the signature file, we need to reconstruct the corresponding signature tree as follows:

- (i) Let z, u, v , and w be the nodes as shown in Fig. 6(a) and assume that the v is a pointer to the signature to be removed.

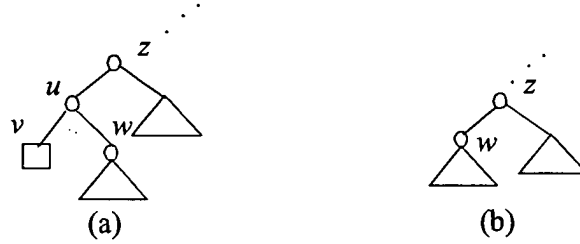


Fig. 6. Illustration for deleting a signature

- (ii) Remove u and v . Set the left pointer of z to w . (If u is the right child of z , set the right pointer of z to w .)

The resulting signature tree is as shown in Fig. 6(b).

From the above analysis, we see that the maintenance of a signature is an easy task.

4. Computational Complexity

4.1 Time complexity

To analyze the performance of the signature tree, we consider four parameters: N - the number of signatures in a signature file, F - the signature length, m - the number of bits set to 1 in a signature, and D - the size of a block. When the average signature is half-populated with 1s, the false drop probability and storage overhead trade-off combination is optimized [CF84]. In such a setting, the two parameters N and F satisfy the following inequality.

$$N \leq \binom{F}{F/2}. \quad (1)$$

We have the above inequality based on a simple observation that if $N > \binom{F}{F/2}$ there must exist two signatures having the same binary strings. In this case, one of them will be removed from the signature file.

In terms of *Stirling* formula: $F! \sim \sqrt{2\pi F} \left(\frac{F}{e}\right)^F$, we have

$$\binom{F}{F/2} \sim \sqrt{\frac{2}{\pi F}} \cdot 2^F. \quad (2)$$

Then, we have

$$N \leq \sqrt{\frac{2}{\pi F}} \cdot 2^F. \quad (3)$$

From this, we have $\log_2 N \leq \frac{1}{2} - \frac{1}{2} \log_2 \pi - \frac{1}{2} \log_2 F + F$.

Thus, F satisfies the following inequality:

$$\log_2 N - \frac{1}{2} + \frac{1}{2} \log_2 \pi + \frac{1}{2} \log_2 F \leq F \quad (4)$$

According to [CF84, DML98], in the case that the average block signature involves an equal number of 1s and 0s, the three design parameters m , F , and D satisfy the relationship below:

$$F \times \ln 2 = m \times D \quad (5)$$

In addition, averagely l (the number of bits set to 1 in a query signature) is equal to m .

From the above, we derive the time complexity of the signature tree searching as follows:

$$N/2^l \sim N/2^m = N/2^{\frac{F \ln 2}{D}} \quad (6)$$

In terms of (2) and (6), we have

$$N/2^{\frac{F \ln 2}{D}} \leq N/2^{\langle \log N - \frac{1}{2} + \frac{1}{2} \log \pi + \frac{1}{2} \log F \rangle \frac{\ln 2}{D}} = N / \left(N \cdot \frac{1}{\sqrt{2}} \cdot \sqrt{\pi} \cdot \sqrt{F} \right)^{\frac{\ln 2}{D}} \quad (7)$$

Finally, we have the inequality

$$\begin{aligned} N/2^{\frac{F \ln 2}{D}} &\leq N / \left(N \cdot \frac{1}{\sqrt{2}} \cdot \sqrt{\pi} \cdot \sqrt{F} \right)^{\frac{\ln 2}{D}} \leq \\ &N / \left[N \cdot \frac{1}{\sqrt{2}} \cdot \sqrt{\pi} \cdot \left(\log N - \frac{1}{2} + \log \sqrt{\pi} + \log \sqrt{F} \right)^{\frac{1}{2}} \right]^{\frac{\ln 2}{D}} \sim \left(\frac{\sqrt{2}}{\sqrt{\pi}} \right)^{\frac{\ln 2}{D}} \cdot N / (N \log N)^{\frac{\ln 2}{D}} \end{aligned} \quad (8)$$

Fig. 7 shows the calculation relating to the above formula.

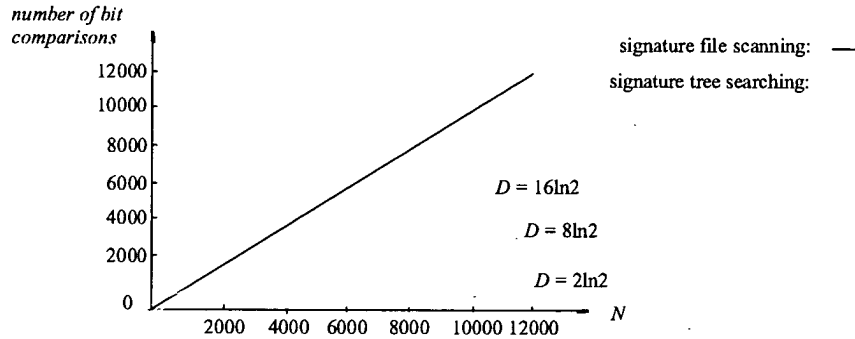


Fig. 7. Time complexities of signature file scanning and signature tree searching

In Fig. 7, the signatures checked is computed in terms of N - the size of a signature file. From this, we can see that the performance of the signature tree searching degrades as the size of a block increases. It is because given a fixed signature length a larger block requires that fewer bits in a term signature are set to 1, which weakens the filtering power of signature trees when it comes to single term query processing.

4.2 Extra space overhead of a signature tree

Note that the signature tree is a binary tree. Thus, a signature tree can be stored as a set of triples

of the form: $\langle v, lp, rp \rangle$, where v represents the number associated with a node, lp represents the pointer to the left subtree and rp represents the pointer to the right subtree.

Assume that the length of a signature is F and the number of signatures in a file is N . (The size of the signature file is therefore $N \times F$ bits.) Then, for each v we need $\log_2 F$ bits and for each lp (rp) we need $\log_2 N$ bits. Accordingly, for all the internal nodes of a signature tree, we need $N \times \log_2 F + 2N \times \log_2 N$ bits space. To mitigate this problem to some extent, we use the following relative address encoding:

- (1) The triples for a signature tree are stored in the breadth-first order.
- (2) lp and rp are relative addresses, i.e., the absolute address of node v' (denoted $add(v')$) pointed by lp (or rp) is equal to $add(v') = add(v) + lp$ (or $add(v) + rp$).

In this way, we need only 2 bits for the addresses of the nodes at the first level, 2^2 bits for the second level, 2^3 bits for the third level, and so on. The space overhead can then be reduced to

$$N \times \log_2 F + 2 \sum_{i=0}^k 2^i \cdot (i+1),$$

where $2^k = N$. It is almost half of the size of the corresponding signature file.

5. Conclusion

In this paper, a new concept of signature identifiers has been introduced, which can be used differentiate signatures in a signature file from each other. Based on this concept, a tree structure, called a signature tree is proposed, in which each path from the root to a leaf node corresponds to a signature identifier. Then, the scanning of a signature file can be replaced by the traversal of a signature tree, which improves the query processing efficiency significantly.

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